

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE (REV. 7-2005)		ATTORNEY'S DOCKET NUMBER <b>CMT-0022</b>
<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>		U.S. APPLICATION NO. (If known, see 37 CFR 1.5) <b>10/538,822</b>
INTERNATIONAL APPLICATION NO. <b>PCT/KR04/03313</b>	INTERNATIONAL FILING DATE <b>December 16, 2004</b>	PRIORITY DATE CLAIMED <b>September 11, 2004</b>
TITLE OF INVENTION <b>METHOD OF IMPROVEMENT AND PERFORMANCE OF SI THIN FILM ANODE FOR LITHIUM RECHARGEABLE BATTERY</b>		
APPLICANT(S) FOR DO/EO/US <b>Sung-Man LEE</b> <b>Seo-Jae LEE</b>		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<ol style="list-style-type: none"> <li>1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.</li> <li>2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</li> <li>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.</li> <li>4. <input type="checkbox"/> The US has been elected (Article 31).</li> <li>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2))             <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).             <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))             <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</li> <li>10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</li> <li>11. <input type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/IPEA/409).</li> <li>12. <input type="checkbox"/> A copy of the International Search Report (PCT/ISA/210).</li> </ol>		
Items 13 to 23 below concern document(s) or information included:		
<ol style="list-style-type: none"> <li>13. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>14. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>15. <input type="checkbox"/> A <b>FIRST</b> preliminary amendment.</li> <li>16. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</li> <li>17. <input type="checkbox"/> A substitute specification.</li> <li>18. <input checked="" type="checkbox"/> A power of attorney and/or change of address letter.</li> <li>19. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.</li> <li>20. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</li> <li>21. <input type="checkbox"/> A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).</li> <li>22. <input type="checkbox"/> Express Mail Label No.</li> </ol>		

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO (if known, see 37 CFR 1.5) <b>10/538,822</b>		INTERNATIONAL APPLICATION NO. <b>PCT/KR04/03313</b>		ATTORNEY'S DOCKET NUMBER <b>CMT-0022</b>																													
23. Other items or information:																																	
<p>The following fees have been submitted:</p> <table> <tr> <td>24. <input type="checkbox"/> Basic national fee .....</td> <td>\$300</td> <td><b>CALCULATIONS</b></td> <td><b>PTO USE</b></td> </tr> <tr> <td>25. <input type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) . . .</td> <td>\$0</td> <td>\$</td> <td>\$0.00</td> </tr> <tr> <td>All other situations.....</td> <td>\$200</td> <td></td> <td></td> </tr> <tr> <td>26. <input type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) . . .</td> <td>\$0</td> <td>\$</td> <td>\$0.00</td> </tr> <tr> <td>Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the as an International Searching Authority.....</td> <td>\$100</td> <td></td> <td></td> </tr> <tr> <td>International Search Report prepared by an ISA other than the US and provided to the previously communicated to the US by the IB.....</td> <td>\$400</td> <td></td> <td></td> </tr> <tr> <td>All other situations.....</td> <td>\$500</td> <td></td> <td></td> </tr> </table>				24. <input type="checkbox"/> Basic national fee .....	\$300	<b>CALCULATIONS</b>	<b>PTO USE</b>	25. <input type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) . . .	\$0	\$	\$0.00	All other situations.....	\$200			26. <input type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) . . .	\$0	\$	\$0.00	Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the as an International Searching Authority.....	\$100			International Search Report prepared by an ISA other than the US and provided to the previously communicated to the US by the IB.....	\$400			All other situations.....	\$500			<b>TOTAL OF 24, 25 and 26 =</b>	
24. <input type="checkbox"/> Basic national fee .....	\$300	<b>CALCULATIONS</b>	<b>PTO USE</b>																														
25. <input type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) . . .	\$0	\$	\$0.00																														
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International Search Report prepared by an ISA other than the US and provided to the previously communicated to the US by the IB.....	\$400																																
All other situations.....	\$500																																
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.				\$																													
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)		RATE																													
- 100 =	0 /50 =	0		x \$250.00	\$ \$0.00																												
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).				\$	\$130.00																												
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE																														
Total claims	- 20 =	0	x \$50.00	\$	\$0.00																												
Independent claims	- 3 =	0	x \$200.00	\$	\$0.00																												
MULTIPLE DEPENDENT CLAIMS (if applicable)			<input type="checkbox"/>	+ \$360.00	\$ \$0.00																												
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$	\$130.00																												
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.				\$	\$0.00																												
				<b>SUBTOTAL =</b>	\$ \$130.00																												
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				\$	\$0.00																												
<b>TOTAL NATIONAL FEE =</b>				\$	\$130.00																												
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +				\$	\$0.00																												
<b>TOTAL FEES ENCLOSED =</b>				\$	\$130.00																												
08/22/2005 GFREY1 00000103 061130 10538822 01 FC:1617 130.00 DA				<b>Amount to be</b>	\$																												
				<b>Amount to be</b>	\$																												

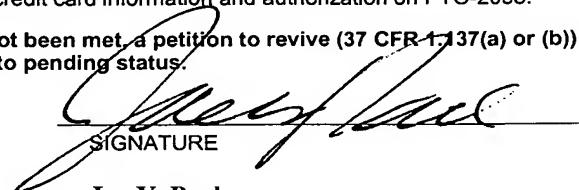
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

- a.  A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.
- b.  Please charge my Deposit Account No. 06-1130 in the amount of \$ \$130.00 to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c.  The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 06-1130. A duplicate copy of this sheet is enclosed.
- d.  Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

CANTOR COLBURN LLP  
55 Griffin Road South  
Bloomfield, CT 06002  
Tel: (860) 286-2929  
Fax: (860) 286-0115



SIGNATURE

Jae Y. Park

NAME

Limited Recognition No.: L0077

REGISTRATION NUMBER

August 16, 2006

DATE

**CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)**

Applicant(s): Sung-Man LEE, et al.

Docket No.

CMT-0022

Application No.

Filing Date

Examiner

Customer No.

Group Art Unit

10/538,822

December 16, 2004

NYA

23413

NYA

Invention:

**METHOD FOR IMPROVEMENT OF PERFORMANCE OF SI THIN FILM ANODE  
FOR LITHIUM RECHARGEABLE BATTERY**I hereby certify that this Transmittal Letter to US Designated Office and related papers listed below*(Identify type of correspondence)*

is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a)] on  
August 16, 2006

*(Date)*Kim Padilla*(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)***Note: Each paper must have its own certificate of mailing.**

Transmittal Letter to the US Designated/Elected Office (3 pgs);  
Copy of Notification of Missing Requirements (2 pgs);  
Executed Combined Dec/POA (2 pgs);  
Authorization to debit and/or credit Deposit Account No.: 06-1130 - \$130.00 Declaration Surcharge; and  
Postcard Receipt



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
[www.uspto.gov](http://www.uspto.gov)

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/538,822	Sung-Man Lee	CMT-0022

23413  
 CANTOR COLBURN, LLP  
 55 GRIFFIN ROAD SOUTH  
 BLOOMFIELD, CT 06002

**RECEIVED**

AUG 07 2006

**CANTOR COLBURN LLP**

INTERNATIONAL APPLICATION NO.

PCT/KR04/03313

I.A. FILING DATE

12/16/2004

PRIORITY DATE

**CONFIRMATION NO. 5934**  
**371 FORMALITIES LETTER**



\*OC000000019840671\*

Date Mailed: 08/02/2006

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 06/13/2005
- English Translation of the IA filed on 06/13/2005
- Preliminary Amendments filed on 06/13/2005
- Information Disclosure Statements filed on 06/13/2005
- U.S. Basic National Fees filed on 06/13/2005

*October 2  
M.D.  
8/7/06*

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

SHELBY J VIGIL

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Telephone: (703) 308-9140 EXT 224

PART 1 - ATTORNEY/APPLICANT COPY

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U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/538,822	PCT/KR04/03313	CMT-0022

FORM PCT/DO/EO/905 (371 Formalities Notice)